

## **APPENDIX C**

### **OFFICE OF SPACE SCIENCE STANDARD FORMS FOR PROPOSERS RESPONDING TO NASA ANNOUNCEMENTS OF OPPORTUNITY**

1. PROPOSAL COVER SHEET
2. ABSTRACT FORM
3. BUDGET SUMMARY FORM
  - In addition to this form, an organization may include its own budget forms. SF 1411 also required
4. BUDGET PER YEAR FORM
  - In addition to this form, an organization may include its own budget forms. SF 1411 also required
5. CERTIFICATION FOR DRUG-FREE WORKPLACE
  - This form requires a signature.
6. CERTIFICATION FOR DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITIES
  - This form requires a signature.
7. CERTIFICATION REGARDING LOBBYING (IF > \$100,000)
  - This form requires a signature.
8. MAILING FORM UPDATE

## OSS PROPOSAL COVER PAGE

AO #: AO 97-OSS-02	AO Title: NASA Research Instrument at the Keck Observatory
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Principal Investigator			
<i>Title</i>	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
Department			
Company/Institution			
Street Address		City/Town	
State	Zip/Postal	Country	
Telephone	Fax	E-Mail Address	
Principal Investigator's Signature			Date

Proposal Title
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Co-Investigator(s) Name	Institution	E-mail

### Institutional Endorsement

Name of Authorizing Official	
Title	
Institution	
Signature	Date

Budget Summary				
	Year 1	Year 2	Year 3	Total Funding
Amount Requested				

ABSTRACT

Principal Investigator			
<i>Title</i>	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
Proposal Title			



## PROPOSAL BUDGET SUMMARY

FROM: \_\_\_\_\_ to \_\_\_\_\_

**TITLE OF INVESTIGATION:**

**PRINCIPAL INVESTIGATOR/ INSTITUTION:**

	A	(NASA USE ONLY) B	C
1. Direct Labor (salaries, wages, and fringe benefits)	_____	_____	_____
2. Other Direct Cost:			
a. Subcontracts/grants	_____	_____	_____
b. Consultants	_____	_____	_____
c. Equipment	_____	_____	_____
d. Supplies	_____	_____	_____
e. Travel	_____	_____	_____
f. Other	_____	_____	_____
3. Indirect Costs	_____	_____	_____
4. Other Applicable Costs	_____	_____	_____
5. Subtotal--Estimated Costs	_____	_____	_____
6. Less Proposed Cost Sharing	_____	_____	_____
7. Carryover Funds (if any)			
a. Anticipated amount	_____	_____	_____
b. Amount used to reduce budget	_____	_____	_____
8. Fee, if any	_____	_____	_____
9. Total Estimated Costs	_____	_____	XXXXXXXXXX
APPROVED BUDGET	XXXXXXXXXXXXX	XXXXXXXXXX	_____

## PROPOSAL BUDGET PER YEAR

FROM: \_\_\_\_\_ to \_\_\_\_\_

**TITLE OF INVESTIGATION:**

**PRINCIPAL INVESTIGATOR/ INSTITUTION:**

	A	(NASA USE ONLY) B	C
1. Direct Labor (salaries, wages, and fringe benefits)	_____	_____	_____
2. Other Direct Costs:			
a. Subcontracts/grants	_____	_____	_____
b. Consultants	_____	_____	_____
c. Equipment	_____	_____	_____
d. Supplies	_____	_____	_____
e. Travel	_____	_____	_____
f. Other	_____	_____	_____
3. Indirect Costs	_____	_____	_____
4. Other Applicable Costs	_____	_____	_____
5. Subtotal--Estimated Costs	_____	_____	_____
6. Less Proposed Cost Sharing	_____	_____	_____
7. Carryover Funds (if any)			
a. Anticipated amount	_____	_____	_____
b. Amount used to reduce budget	_____	_____	_____
8. Fee, if any	_____	_____	_____
9. Total Estimated Costs	_____	_____	XXXXXXXXXX
APPROVED BUDGET	XXXXXXXXXXXXX	XXXXXXXXXX	_____

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## Certification Regarding Drug-Free Workplace Requirements

### Grantees Other Than Individuals

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This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 34 CFR Part 85, Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment (see 34 CFR Part 85, Sections 85.615 and 85.620).

This grantee certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about -
  - The dangers of drug abuse in the workplace;
  - The grantee's policy of maintaining a drug-free workplace;
  - Any available drug counseling, rehabilitation, and employee assistance programs; and
  - The penalties that may be imposed upon employees for drug abuse violations in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -
  - Abide by the terms of the statement; and
  - Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2) , with respect to any employee who is so convicted -
  - Taking appropriate personnel action against such an employee, up to and including termination; or
  - Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraph (a), (b), (c), (e), and (f).

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Organization Name

PR/Award Number or  
Proposal Name

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Name and Title of Authorized Representative

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Signature

Date

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**Certification Regarding  
Debarment, Suspension, and Other Responsibility Matters  
Primary Covered Transactions**

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This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participant's responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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Organization Name

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PR/Award Number or Proposal Name

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Name and Title of Authorized Representative

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Signature

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Date

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## Certification Regarding Lobbying

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Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000 for each such failure.

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Organization Name

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PR/Award Number or Proposal Name

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Name and Title of Authorized Representative

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Signature

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Date